

**U. S. DEPARTMENT OF EDUCATION  
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION  
WASHINGTON, D.C. 20202**

**FY 1999  
APPLICATION FOR GRANTS FOR  
EQUITY ASSISTANCE CENTERS  
UNDER CIVIL RIGHTS  
TECHNICAL ASSISTANCE AND TRAINING**

**CFDA Number: 84.004D  
FORM APPROVED  
OMB. No. 1810-0589, EXP. DATE 12/31/2001**

**DATED MATERIAL – OPEN IMMEDIATELY  
CLOSING DATE: MARCH 1, 1999**

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1810-0589**. The time required to complete this information collection is estimated to average **32.5** hours (or minutes) per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Sandra Shever Brown/Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, S.W., FB6, Room 3C122, Washington, D.C. 20202-6140.

**EQUITY ASSISTANCE CENTERS  
UNDER CIVIL RIGHTS  
TECHNICAL ASSISTANCE AND TRAINING PROGRAM  
APPLICATION PACKAGE**

**TABLE OF CONTENTS**

- Section A.** Dear Applicant Letter  
-Letter from the Assistant Secretary for Elementary and Secondary Education
- Section B.** Legal and Regulatory Documents  
-Closing Date Notice  
-Statute  
-Program Regulations  
-Selection Criteria
- Section C.** General Instructions and Forms  
-Part I – Application for Federal Education Assistance Sheet  
(ED 424 and Instructions)  
-Part II - Assurances and Certifications  
-Part III – Budget Form and Information  
(ED Form 524 Sections A, B, and C and Instructions)  
-Part IV – Program Narrative  
- Performance Indicators  
-DUNS Number Instructions
- Section D.** Transmittal Instructions and Checklist  
-Application Transmittal Instructions  
-Application Checklist
- Section E.** Other Important Information and Notices  
-Notice to All Applicants (Section 427 GEPA)  
-Executive Order 12372  
-State Single Points of Contact  
-Important Notice to Prospective Participants in U.S. Department  
of Education Contract and Grants Programs  
-Grant Application Receipt Acknowledgement

**SECTION A**  
**DEAR APPLICANT LETTER**

**LETTER FROM THE ASSISTANT SECRETARY, OESE**

Dear Applicant:

Thank you for your interest in the Equity Assistance Center (EAC) Program. The EAC program is authorized under Title IV of the Civil Rights Act (CRA) of 1964, Public Law 88-352, Desegregation of Public Education Program. Included in this application package are the instructions and forms needed to submit an application to the U.S. Department of Education. Please take the time to thoroughly review the authorizing statute, the program regulations and all of the application instructions.

I would like to bring your attention to other Departmental requirements that affect the application that you will be developing. One concerns a provision in the Department of Education's General Education Provisions Act (GEPA), while the second concerns the budget information needed for multi-year projects.

First, Section 427 of GEPA was enacted as part of the Improving America's Schools Act of 1994 and requires each applicant for funds to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally assisted program for students, teachers, and other program beneficiaries with special needs. Your description need not be lengthy and may be provided in either a separate narrative or, if appropriate, may be discussed in connection with related topics in the application.

Second, in accordance with Education Department General Administrative Regulations (EDGAR), an applicant may request funding for a multi-year award. In order to be considered for multi-year funding, the applicant must explain why a multi-year project is needed and provide a detailed budget for each of the years of the proposed project. The Department will negotiate, at the time of the initial award, the funding levels for each year of the grant award. If you are selected for an award, the budgets for all years of the project will be negotiated at the same time. This means that future continuation awards will rely heavily on project performance reports, which will need to be submitted near the end of each budget period. You will be notified when the reports are due.

Also, I would like to inform you that performance indicators have been developed for the Equity Assistance Centers Program, and a copy of the EAC's performance indicators are included in this application package. As part of a government-wide effort to improve the performance and accountability of all Federal programs, the Government Performance and Results Act (GPRA) requires the development and use of performance indicators to set goals for program performance and to measure and report program results. The performance indicators do not change the EAC program nor create any new requirements for applicants. The performance indicators highlight elements from the information you submit as part of your application that are most important to the assessment of the EAC program.

Please refer to the Notice Inviting Applications that follows for a contact name and number, and do not hesitate to call if you should have any questions about the program after reviewing the application package. We look forward to receiving your application and appreciate your efforts to promote equity and excellence for all children.

Sincerely,

Gerald N. Tirozzi  
Assistant Secretary  
Elementary and Secondary Education

**SECTION B**  
**LEGAL and REGULATORY DOCUMENTS**

**CLOSING DATE NOTICE**  
**STATUTE**  
**PROGRAM REGULATIONS**  
**SELECTION CRITERIA**

## SELECTION CRITERIA

- (a) Mission and strategy. (30 points)** The Secretary reviews each application to determine the extent to which the applicant understands effective practices for addressing problems in each of the desegregation assistance areas, including the extent to which the applicant:
- (1) Understands the mission of the proposed DAC;
  - (2) Is familiar with relevant research, theory, materials, and training models;
  - (3) Is familiar with the types of problems that arise in each of the desegregation assistance areas;
  - (4) Is familiar with relevant strategies for technical assistance and training; and
  - (5) Is familiar with the equity needs of responsible governmental agencies in its designated region.
- (b) Organizational capability. (15 points)** The Secretary reviews each application to determine the ability of the applicant to sustain a long-term, high-quality, and coherent program of technical assistance and training, including the extent to which the applicant:
- (1) Demonstrates the commitment to provide the services of appropriate faculty or staff members from its organization;
  - (2) Selects project staff with an appropriate mixture of scholarly and practitioner backgrounds; and
  - (3) Has had past successes in rendering technical assistance and training in the desegregation assistance areas, including collaborating with other individuals and organizations.
- (c) Plan of operation. (25 points)** The Secretary reviews each application to determine the quality of the plan of operation for the project, including the extent to which:
- (1) The design of the project is of high quality;
  - (2) The plan of management ensures proper and efficient administration of the project;
  - (3) The applicant plans to use its resources and personnel effectively to achieve each objective; and
  - (4) The applicant will ensure that project participants who are otherwise eligible to participate are selected without regard to race, color, national origin, sex, age, or handicapping condition.
- (d) Quality of key personnel. (15 points)**
- (1) The Secretary reviews each application to determine the qualifications of the key personnel that the applicant plans to use on the project, including:
    - (i) The qualifications of the project director
    - (ii) The qualifications of the other key personnel to be used in the project;
    - (iii) The time that each person referred to in paragraphs (d)(1) (i) and (ii) of this section will commit to the project; and



- (iv) How the applicant, as part of its nondiscriminatory employment practices, will ensure that its personnel are selected for employment without regard to race, color, national origin, gender, age, or handicapping condition.
- (2) To determine personnel qualifications, under paragraphs (d)(1) (i) and (ii) of this section, the Secretary considers:
  - (i) Experience and training in fields related to the objectives of the project; and
  - (ii) Any other qualifications that pertain to the quality of the project.
- (e) Budget and cost effectiveness. (5 points)** The Secretary reviews each application to determine the extent to which:
  - (1) The budget for the project is adequate to support the project activities; and
  - (2) Costs are reasonable in relation to the objectives of the project.
- (f) Evaluation plan. (5 points)** The Secretary reviews each application to determine the quality of the evaluation plan for the project, including the extent to which the methods of evaluation:
  - (1) Are appropriate for the project; and
  - (2) To the extent possible, are objective and produce data that are quantifiable.
- (g) Adequacy of resources. (5 points)** The Secretary reviews each application to determine the adequacy of the resources that the applicant plans to devote to the project, including facilities, equipment, and supplies.

4000-01-P

DEPARTMENT OF EDUCATION

(CFDA No.: 84.004D)

Desegregation of Public Education-Equity Assistance Center (EAC) Program

Notice Inviting Applications for New Awards for Fiscal Year (FY) 1999

**PURPOSE OF PROGRAM:** To award grants (cooperative agreements) to operate regional equity assistance centers to enable them to provide technical assistance and training, at the request of school boards and other responsible governmental agencies, on issues related to equity in education on the basis of race, gender, and national origin.

**ELIGIBLE APPLICANTS:** A public agency (other than a State educational agency or a school board) or private, non-profit organization.

**DEADLINE DATE FOR TRANSMITTAL OF APPLICATIONS:** March 1, 1999

**DEADLINE DATE FOR INTERGOVERNMENTAL REVIEW:** April 30, 1999

**APPLICATIONS AVAILABLE:** January 12, 1999

**AVAILABLE FUNDS:** \$7,344,000

**ESTIMATED RANGE OF AWARDS:** \$300,000 to \$1,000,000 per year

**ESTIMATED AVERAGE SIZE OF AWARDS:** \$730,000

**ESTIMATED NUMBER OF AWARDS:** 10

**NOTE:** The Department is not bound by any estimates in this notice.

**PROJECT PERIOD:** Up to 36 months

**APPLICABLE REGULATIONS:** (a) The Education Department General

Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85 and 86; except that 34 CFR 75.232 does not apply to grants under 34 CFR Part 272; and (b)

the regulations for this program in 34 CFR Part 270 and 272.

### PRIORITIES

INVITATIONAL PRIORITIES: While applicants may propose any project within the scope of 34 CFR 272.10, the Equity (Desegregation) Assistance Center Program Regulations, pursuant to 34 CFR 75.105 (c)(1) the Secretary is particularly interested in applications that meet one or more of the following invitational priorities. However, an application that meets one or more of the invitational priorities does not receive competitive or absolute preference over the other applicants.

Invitational Priority 1 – Projects that will give priority to assisting public school districts that have been released from mandatory desegregation plans and that are seeking ways to maintain or advance the voluntary desegregation of their schools.

Invitational Priority 2 – Projects that will give priority to assisting public school districts that promote equity in education by providing opportunities for students to learn how to interact in positive ways with students who are different from themselves, and to overcome racial and ethnic prejudices.

FOR APPLICATIONS OR INFORMATION CONTACT: Sandra Shever Brown, U. S. Department of Education, 400 Maryland Avenue, SW, Room 3C122, Washington, D.C. 20202-6140. Telephone (202)260-2638. Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) at 1-800-877-8339 between 8 a.m. and 8 p.m., Eastern time, Monday through Friday.

Individuals with disabilities may obtain this document in an alternate format (e.g., Braille, large print, audiotape, or computer diskette) on request from the contact person listed in the preceding paragraph.

Individuals with disabilities may obtain a copy of the application package in an alternate format, also, by contacting that person. However, the Department is not able to reproduce in an alternate format the standard forms included in the application package.

Electronic Access to this Document

Anyone may view this document, as well as all other Department of Education documents published in the Federal Register, in text or portable document format (pdf) on the World Wide Web at either of the following sites:

<http://ocfo.ed.gov/fedreg.htm>

<http://www.ed.gov/new.html>

To use the pdf you must have the Adobe Acrobat Reader Program with Search, which is available free at either of the previous sites. If you have any questions about using the pdf, call the U.S. Government Printing Office toll free at 1-888-293-6498.

Anyone may also view these documents in text copy only on an electronic bulletin board of the Department. Telephone: (202) 219-1511 or, toll free, 1-800-222-4922. The documents are located under Option G –Files/Announcements, Bulletins and Press Releases.

Note: The official version of this document is the document published in the Federal Register.

PROGRAM AUTHORITY: 42 U.S.C. 2000c-2000c-2, 2000c-5

Dated:

---

Gerald N. Tirozzi  
Assistant Secretary  
Elementary and Secondary Education

## **SECTION C**

### **APPLICATION INSTRUCTIONS and FORMS**

**General Instructions**

**PART I: Federal Education Assistance Sheet (ED 424)**

**PART II: Assurances and Certifications**

**PART III: Budget Form and Information (ED Form 524)**

**PART IV: Program Narrative**

**DUNS Number Instructions**

## GENERAL INSTRUCTIONS

### APPLICATION INSTRUCTIONS AND FORMS

This application is divided into four parts. Submitted applications should be organized in the same manner.

All of these forms are available at:

<http://ocfo.ed.gov/grntinfo/appforms.htm>

The sections are as follows:

Part I: Federal Education Assistance Sheet (ED 424)

Part II: Assurances and Certifications

Part III: Budget Data (ED Form 524)

Part IV: Program Narrative

**No grant may be awarded unless a completed application form has been received.  
(42 U.S.C. 2000c-2000c-5)**

**Submit the original and two copies of the completed application.**

### **PART I: APPLICATION FOR FEDERAL EDUCATION ASSISTANCE SHEET (ED 424)**

This part of your application consists of the standard application face page on which you provide basis identifying information about the applicant and the application. Specific instructions for completing this form are located on the back of the form.

### **PART II: ASSURANCES AND CERTIFICATIONS.**

Be certain to include all assurances and certifications, and sign each form in the appropriate place. The assurances and certification included in this application package are:

- Assurances – Non-Construction Programs
- Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

### **PART III: BUDGET FORM AND INFORMATION (ED FORM 524)**

This part of your application contains information about the Federal funding you are requesting. Remember that you must provide complete budget information for each of the three years of the proposed project. Specific instructions for completing the budget forms and information immediately follow the form. Remember that Section C requires an itemized budget breakdown by project year and requests other explanations or comments deemed necessary.

### **PART IV: PROGRAM NARRATIVE**

The program narrative should follow the order of the selection criteria given in Section 272.30, Subpart D of the program regulations. Describe in detail activities planned for each funding period. As you formulate your proposed project objectives and evaluation plans, it may be helpful to review the performance indicators to determine if the program narrative information that is referenced in the performance indicators is aligned with your specific Equity Assistance Center program performance plan objectives and indicators. A copy of the performance indicators has been included in this application package for your information. In addition, see Section E, Notice to All Applicants (Section 427 GEPA), regarding the provision that applies to applicants for new grant awards under Department programs.

Please attach a one-two page abstract following the Federal Education Assistance Sheet, ED 424. This is a key element in all proposed narratives and should include statements regarding (1) the need for the project; (2) the proposed plan of operation; and (3) the project's significance and intended outcomes.

If you should need additional assistance, please contact Sandra Shever Brown, U. S. Department of Education, School Improvement Programs, at 202-260-2638.





**13a.** Federal        \$ \_\_\_\_\_. **00**        and correct. The document has been duly authorized by the governing body of the applicant

**b.** Applicant        \$ \_\_\_\_\_. **00**        and the applicant will comply with the attached assurances if the assistance is awarded.

**c.** State            \$ \_\_\_\_\_. **00**        **a.** Typed Name of Authorized Representative

**d.** Local            \$ \_\_\_\_\_. **00**

\_\_\_\_\_

**e.** Other            \$ \_\_\_\_\_. **00**        **b.** Title:

\_\_\_\_\_

**f.** Program Income \$ \_\_\_\_\_. **00**        **c.** Tel. #: (        ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: (        )

\_\_\_\_\_ - \_\_\_\_\_

**d.** E-Mail Address:

\_\_\_\_\_

**g. TOTAL**        \$ \_\_\_\_\_. **00**        **e.** Signature of Authorized Representative

\_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

ED 424 (rev 12.22.98)

## Instructions for ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
- 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com/dbis/aboutdb/intlduns.htm>.
- 3. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested.
- 4. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 5. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
- 6. Type of Applicant.** Enter the appropriate letter in the box provided.
- 7. Novice Applicant.** Check "Yes" only if assistance is being requested under a program that gives special consideration to novice applicants and you meet the program requirements for novice applicants. By checking "Yes" the applicant certifies that it meets the novice applicant requirements specified by ED. Otherwise, check "No."
- 8. Type of Submission.** Self-explanatory.
- 9. Executive Order 12372.** Check "Yes" if the application is subject to review by Executive Order 12372. Also, please enter the month, date, and four (4) digit year (e.g., 12/12/2000). Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Otherwise, check "No."
- 10. Proposed Project Dates.** Please enter the month, date, and four (4) digit year (e.g., 12/12/2000).
- 11. Human Subjects.** Check "Yes" or "No". If research activities involving human subjects are not planned at any time during the proposed project period, check "No." **The remaining parts of item 11 are then not applicable.**  
  
If research activities involving human subjects, whether or not exempt from Federal regulations for the protection of human subjects, are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution, check "Yes." If all the research activities are designated to be exempt under the regulations, enter, in item 11a, the exemption number(s) corresponding to one or more of the six exemption categories listed in "Protection of Human Subjects in Research" attached to this form. Provide sufficient information in the application to allow a determination that the designated exemptions in item 11a, are appropriate. **Provide this narrative information in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page. Skip the remaining parts of item 11.**  
  
If some or all of the planned research activities involving human subjects are covered

(nonexempt), skip item 11a and continue with the remaining parts of item 11, as noted below. In addition, follow the instructions in **“Protection of Human Subjects in Research”** attached to this form to prepare the six-point narrative about the nonexempt activities. **Provide this six-point narrative in an “Item 11/Protection of Human Subjects Attachment” and insert this attachment immediately following the ED 424 face page.**

**If the applicant organization has an approved Multiple Project Assurance of Compliance** on file with the Grants Policy and Oversight Staff (GPOS), U.S. Department of Education, or with the Office for Protection from Research Risks (OPRR), National Institutes of Health, U.S. Department of Health and Human Services, that covers the specific activity, enter the Assurance number in item 11b and the date of approval by the Institutional Review Board (IRB) of the proposed activities in item 11c. This date must be no earlier than one year before the receipt date for which the application is submitted and must include the four (4) digit year (e.g., 2000). Check the type of IRB review in the appropriate box. An IRB may use the expedited review procedure if it complies with the requirements of 34 CFR 97.110. If the IRB review is delayed beyond the submission of the application, enter **“Pending”** in item 11c. If your application is recommended/selected for funding, a follow-up certification of IRB approval from an official signing for the applicant organization must be sent to and received by the designated ED official within 30 days after a specific formal request from the designated ED official. **If the applicant organization does not have** on file with GPOS or OPRR **an approved Assurance of Compliance** that covers the proposed research activity, enter **“None”** in item 11b and skip 11c. In this case, the applicant organization, by the signature on the application, is declaring that it will comply with 34 CFR 97 within 30 days after a specific formal request from the designated ED official for the Assurance(s) and IRB certifications.

**12. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project

location. For preapplications, use a separate sheet to provide a summary description of this project.

**13. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 13.

**14. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body’s authorization for you to sign this application as official representative must be on file in the applicant’s office.

Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 14e, please enter the month, date, and four (4) digit year (e.g., 12/12/2000) in the date signed field.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1875-0106**. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D

Streets, S.W. ROB-3, Room 3633, Washington,  
D.C. 20202-4725

**Protection of Human Subjects in Research**  
**(Attachment to ED 424)**

**I. Instructions to Applicants about the Narrative Information that Must be Provided if Research Activities Involving Human Subjects are Planned.**

If you marked item 11 on the application “Yes” and designated exemptions in 11a , **(all research activities are exempt)**, provide sufficient information in the application to allow a determination that the designated exemptions are appropriate. Research involving human subjects that is exempt from the regulations is discussed under **II.B. “Exemptions,”** below. The Narrative must be succinct. **Provide this information in an “Item 11/Protection of Human Subjects Attachment” and insert this attachment immediately following the ED 424 face page.**

If you marked “Yes” to item 11 on the face page, and designated no exemptions from the regulations **(some or all of the research activities are nonexempt)**, address the following six points for each nonexempt activity. In addition, if research involving human subjects will take place at collaborating site(s) or other performance site(s), provide this information before discussing the six points. Although no specific page limitation applies to this section of the application, be succinct. Provide the six-point narrative and discussion of other performance sites in an **“Item 11/Protection of Human Subjects Attachment” and insert this attachment immediately following the ED 424 face page.**

(1) Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss

provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

## **II. Information on Research Activities Involving Human Subjects**

### **A. Definitions.**

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### **—Is it a research activity?**

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge, such as an exploratory study or the collection of data to test a hypothesis, it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### **—Is it a human subject?**

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

## **B. Exemptions.**

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of ***exemptions*** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, this exemption applies only to research involving educational tests or observations of public behavior when the investigator(s) do not participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.



(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S Department of Agriculture.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff (GPOS) Office of the Chief Financial and Chief Information Officer, U.S. Department of Education, Washington, D.C., telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://ocfo.ed.gov/humansub.htm>.*

Pitfalls to Avoid in Responding to Items 11 of the ED 424 can be found at:

<http://ocfo.ed.gov/humansub/pitfalls.htm>

U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS



Name of Institution/Organization

Applicants requesting funding for o  
Applicants requesting funding for n  
read all instructions before completi

SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)
1. Personnel				
2. Fringe Benefits				
3. Travel				
4. Equipment				
5. Supplies				
6. Contractual				
7. Construction				
8. Other				
9. Total Direct Costs (lines 1-8)				
10. Indirect Costs				
11. Training Stipends				
12. Total Costs (lines 9-11)				

Name of Institution/Organization			Applicants requesting funding for o Applicants requesting funding for n read all instructions before completi	
<b>SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS</b>				
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)
1. Personnel				
2. Fringe Benefits				
3. Travel				
4. Equipment				
5. Supplies				
6. Contractual				
7. Construction				
8. Other				
9. Total Direct Costs (lines 1-8)				
10. Indirect Costs				
11. Training Stipends				
12. Total Costs (lines 9-11)				
<b>SECTION C - OTHER BUDGET INFORMATION (see instru</b>				

ED FORM NO. 524

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching

existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

## **INSTRUCTIONS FOR ED FORM 524**

### General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Other Budget Information Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

---

## **CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

---

### **1. LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

---

### **2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them

for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

---

---

---

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

---

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

### DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

Check ☐ if there are workplaces on file that are not identified here.



As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

---

## **Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

### **Instructions for Certification**

department or agency with which this transaction originated.

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

---

**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT AND/OR PROJECT NAME	PR/AWARD NUMBER
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete)

Approved by OMB

0348-0046

### Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> a. contract _____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> a. bid/offer/application _____ b. initial award c. post-award	<b>3. Report Type:</b> a. initial filing _____ b. material change  <b>For material change only:</b> Year _____ quarter _____ Date of last report _____
<b>4. Name and Address of Reporting Entity:</b> _____ Prime _____ Subawardee Tier _____, if Known:  <b>Congressional District, if known:</b>		<b>5. If Reporting Entity in No. 4 is Subawardee,</b> Enter Name and Address of Prime:  <b>Congressional District, if known:</b>
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b>  \$	
<b>10. a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI):	<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required</b>		<b>Signature:</b> _____  <b>Print Name:</b> _____

disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Title: \_\_\_\_\_  
\_\_\_\_\_

Telephone No.: \_\_\_\_\_ Date: \_\_\_\_\_

Federal Use Only

Authorized for Local Reproduction  
Standard Form - LLL (Rev. 7-97)

## **INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

---

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503



## **Performance Indicators**

Please refer to: <http://www.ed.gov/pubs/AnnualPlan/improve.html#civil>

## **DUNS Number Instructions**

D-U-N-S No.: Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

<http://www.dnb.com/dbis/aboutdb/intlduns.htm>

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.

## **SECTION D**

### **TRANSMITTAL INSTRUCTIONS and CHECKLIST**

## APPLICATION CHECK LIST

Does your application include the following:

\_\_\_\_\_ Cover Page (ED 424)

\_\_\_\_\_ Budget Form (ED 524)

\_\_\_\_\_ Itemized budget and other budget information

\_\_\_\_\_ Program narrative, including responses to the selection criteria

\_\_\_\_\_ Abstract

\_\_\_\_\_ GEPA 427 Requirement

\_\_\_\_\_ Assurances and Certifications

\_\_\_\_\_ Assurances – Non-Construction Programs

\_\_\_\_\_ Certifications Regarding Lobbying; Debarment; Suspension and Other  
Responsibility Matters; and Drug-Free Workplace Requirements

\_\_\_\_\_ Certification Regarding Debarment, Suspension, Ineligibility and Voluntary  
Exclusion – Lower Tier Covered Transactions

\_\_\_\_\_ Disclosure of Lobbying Activity

Have you:

\_\_\_\_\_ Provided one original and two copies of the application?

\_\_\_\_\_ Included all required forms with original signatures and dates?

\_\_\_\_\_ Submitted a copy of the application to the State Single Point of Contact? (if  
applicable)

\_\_\_\_\_ Mail Application to:

Equity Assistance Centers Program  
CFDA No. 84.004D  
U. S. Department of Education  
Application Control Center  
7<sup>th</sup> and D Streets, SW  
Room 3633  
Washington, DC 20202-4725

## **Application Transmittal Instructions**

An application for an award must be mailed or hand delivered by the closing date.

### **Applications Sent By Mail**

An application sent by mail must be addressed to the U.S. Department of Education, Application Control Center, Attention: CFDA 84.004D, 400 Maryland Avenue, SW, Washington, DC 20202-4725.

An application must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education.

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first-class mail.

Each late applicant will be notified that its application will not be considered.

### **Applications Delivered by Hand/Courier Service**

An application that is hand delivered must be taken to the U.S. Department of Education, Application Control Center, Room 3633, General Services Administration National Capital Region, 7th and D Streets, SW, Washington, DC 20202-4725.

The Application Control Center will accept deliveries between 8:00 am., and 4:30 pm. (Washington, DC time) daily, except Saturdays, Sundays, and Federal holidays.

Individuals delivering applications must use the D Street Entrance. Proper identification is necessary to enter the building.

In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date.

**SECTION E**  
**OTHER IMPORTANT INFORMATION and NOTICES**

**Notice to All Applicants (Section 427 GEPA)**

**Executive Order 12372**

**State Single Points of Contact**

**Important Notice to Prospective Participants...**

**Grant Application Receipt Acknowledgement**



# Grants Policy and Oversight Staff

---

Grants Policy Bulletin #10

Office of the Chief Financial  
and Chief Information Officer

Issue Date: JUL 20 1998

## GEPA Requirements - Section 427

### Purpose

To provide discretionary grant teams with guidance to ensure that an applicant meets the requirements of Section 427 of the General Education Provisions Act (GEPA), prior to making a new award.

### Background

In 1994 Congress enacted a new provision in GEPA. According to Section 427, new applicants must provide a description of steps that they plan to take to ensure equitable access to, and participation in, their federally-assisted program. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, the applicant can determine whether or not these or other barriers may prevent participants from such access and participation and how they intend to overcome them.

This section is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants address equity concerns that might affect the ability of students, teachers, and other program beneficiaries with special needs to participate fully in the proposed project.

## **Policy**

The revised Grants Policy Bulletin #10 replaces Grants Policy Bulletin #10 dated December 30, 1996.

Discretionary grant teams must ensure that information required by Section 427 of GEPA is included in each application. In addition, all application packages for discretionary grants and cooperative agreements include the ANotice To All Applicants@ (attached) that explains the requirements of Section 427.

These descriptions may be provided in a single narrative, or, if appropriate, may be described in connection with other related topics in the application. Applicants should be to state in the Table of Contents where this requirement is met.

Discretionary grant teams are responsible for screening each application to ensure that the requirements of this section are met before making an award. If this condition is not met, the team may contact the applicant to find out why this information is missing. If an oversight occurred, the team may give the applicant another opportunity to satisfy this requirement.

All applicants for new awards must satisfy this provision in order to receive funding.

## **Copies of Grants Policy Bulletins**

Copies of Grants Policy Bulletins and their Attachments can be viewed, downloaded, and printed from the Grants Policy and Oversight Staff Information Site, located on the ED Intranet. The address:

**<http://intranet/gpos>**



Grants Policy Bulletins and award attachments are also available on EDGIS (Electronic Documents: Grant Information System). Team members who do not have the icon for EDGIS installed on their desktop can arrange to have that done by calling the Customer Service Center.

Blanca Rosa Rodriguez, Director  
Grants Policy and Oversight Staff  
Office of the Chief Financial  
and Chief Information Officer

Attachment

## **NOTICE TO ALL APPLICANTS**

Thank you for your interest in this program. The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

### **To Whom Does This Provision Apply?**

Section 427 of GEPA affects applicants for new discretionary grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

### **What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicant discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: gender, race, national origin, color, disability, or age. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, etc. from equitable access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### **What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?**

The following examples may help illustrate how an applicant may comply with section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### **Estimated Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1801-0004 (Exp. 8/31/98). The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the Information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. 3/98

## **Executive Order 12372 - Intergovernmental Review**

The Education Department General Administrative Regulations (EDGAR), 34 CFR 79, pertaining to intergovernmental review of Federal programs, apply to the program(s) included in this application package.

This program is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each State under the Executive order. If you want to know the name and address of any State Single Point of Contact, see the list published in the Federal Register on September 21, 1992 (57 FR 43526).

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in this notice to the following address: The Secretary, E.O. 12372-CFDA No. 84.004D, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, D.C. 20202.

Proof of mailing will be determined on the same basis as applications (see CFR 75.102). Recommendations or comments may be hand-delivered until 4:30p.m. (Washington, D.C. time) on the date indicated in this notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATION TO THE ABOVE ADDRESS.

## **State Single Point of Contact**

### **ARIZONA**

Joni Saad  
Arizona State Clearinghouse  
3800 N. Central Avenue  
Fourteenth Floor  
Phoenix, Arizona 85012  
(602) 280-1315  
(602) 280-8144 fax

### **ARKANSAS**

Mr. Tracy L. Copeland  
Manager  
Office of Intergovernmental Services  
Department of Finance and Administration  
1515 W. 7th Street, Rm. 412  
Little Rock, AR 72203  
(501) 682-1074  
(501) 682-5206 fax

### **DELAWARE**

Francine Booth  
State Single Point of Contact  
Executive Department  
Office of the Budget  
Thomas Collins Building  
P.O. Box 1401  
Dover, Delaware 19903  
(302) 739-3326  
(302) 739-5661 fax

### **DISTRICT OF COLUMBIA**

Charles Nichols  
State Single Point of Contact  
Office of Grants Mgmt. & Dev.  
717 14th Street, NW  
Suite 400  
Washington, D.C. 20005  
(202) 727-6554  
(202) 727-1617 fax

## FLORIDA

Florida State Clearinghouse  
Department of Community Affairs  
2740 Centerview Drive  
Tallahassee, Florida 32399-2100  
(904) 922-5438  
(904) 487-2899 fax

## GEORGIA

Tom L. Reid, III  
Coordinator  
Georgia State Clearinghouse  
270 Washington Street, S.,W. 8th Floor  
Atlanta, Georgia 30334  
(404) 656-3855  
(404) 656-3828 fax

## ILLINOIS

Ms. Virginia Bova  
Single Point of Contact  
Illinois Department of Commerce  
And Community Affairs  
James R. Thompson Center 100  
West Randolph Suite 3-400  
Chicago, IL 60601  
(312) 814-6028  
(312) 814-1800 fax

## INDIANA

Frances Williams  
State Budget Agency  
212 State House  
Indianapolis, Indiana 46204-2796  
(317) 232-5619  
(317) 233-3323 fax

## IOWA

Steven R. McCann  
Division for Community Assistance  
Iowa Department of Economic Development  
200 East Grand Avenue  
Des Moines, Iowa 50309  
(515) 242-4719  
(515) 242-4809 fax

#### KENTUCKY

Kevin J. Goldsmith, Director  
John-Mark Hack, Deputy Director  
Sandra Brewer, Executive Secretary  
Intergovernmental Affairs  
Office of the Governor  
700 Capitol Avenue  
Frankfort, KY 40601  
(502) 564-2611  
(502) 564-2849 fax

#### MAINE

Joyce Benson  
State Planning Office  
184 State Street  
38 State House Station  
Augusta, Maine 04333  
(207) 287-3261  
(207) 287-6489 fax

#### MARYLAND

Linda Janey  
Manager  
Plan & Project Review  
Maryland Office of PI  
301 W. Preston Street  
Room 1104  
Baltimore, Maryland 21201-2365  
Staff Contact: Linda Janey  
(410) 767-4490  
(410) 767-4480 fax

#### MICHIGAN

Richard Pfaff  
Southeast Michigan Council of Governments  
660 Plaza Drive  
Suite 1900  
Detroit, MI 48226  
(313) 961-4266  
(313) 961-4869



#### MISSISSIPPI

Cathy MaHette  
Clearinghouse Officer  
Department of Finance and Administration  
455 North Lamar Street  
Jackson, MS 39202-3087  
(601) 359-6762  
(601) 359-6764 fax

#### MISSOURI

Lois Pohl  
Federal Assistance Clearinghouse  
Office of Administration  
P.O. Box 809  
Room 760  
Truman Building  
Jefferson City, MO 65102  
(314) 751-4834  
(314) 751-7819 fax

#### NEVADA

Department of Administration  
State Clearinghouse  
Capitol Complex  
Carson City, NE 89710  
(702) 687-4065  
(702) 687-3983 fax

#### NEW HAMPSHIRE

Jeffrey H. Taylor  
Director, New Hampshire Office of State Planning  
Attn: Intergovernmental Review Process - Mike Blake  
2 1/2 Beacon Street  
Concord, NH 03301  
(603) 271-2155  
(603) 271-1728 fax

#### NEW MEXICO

Robert Peters  
State Budget Division  
Room 190 Bataan Memorial Building  
Santa Fe, NM 87503  
(505) 827-3640

#### NEW YORK

New York State Clearinghouse  
Division of the Budget  
State Capitol  
Albany, New York 12224  
(518) 474-1605  
(518) 486-5617 fax

#### NORTH CAROLINA

Chrys Baggett, Director  
N.C. State Clearinghouse  
Office of the Secretary of Admin.  
116 West Jones Street  
Suite 5106  
Raleigh, NC 27603-8003  
(919) 733-7232  
(919) 733-9571 fax

#### NORTH DAKOTA

North Dakota Single Point of Contact  
Office of Intergovernmental Assistance  
600 E. Boulevard Avenue  
Bismarck, ND 58505-0170  
(701) 224-2094  
(701) 224-2308 fax

#### RHODE ISLAND

Kevin Nelson  
Review Coordinator  
Department of Administration  
Division of Planning  
One Capitol HM, 4th Floor  
Providence, Rhode Island 02909-5870  
(401) 277-2656  
(401) 277-2083 fax

#### SOUTH CAROLINA

Omeagia Burgess  
State Single Point of Contact  
Budget and Control Board  
Office of State Budget  
1122 Ladies St. 12th fl.  
Columbia, SC 29201  
(803) 734-0494  
(803) 734-064

## TEXAS

Tom Adams  
Governors Office  
Director, Intergovernmental Coordination  
P.O. Box 12428  
Austin, Texas 78711  
(512) 463-1771  
(512) 463-1880 fax

## UTAH

Carolyn Wright  
Utah State Clearinghouse  
Office of Planning and Budget  
Room 116 State Capitol  
Salt Lake City, Utah 84114  
(801) 538-1535  
(801) 538-1547 fax

## WEST VIRGINIA

Fred Cutlip, Director  
Community Development Division  
W. Virginia Development  
Office Building #6, Room 553  
Charleston, WV 25305  
(304) 558-4010  
(304) 558-3248 fax

## WISCONSIN

Jeff Smith  
Section Chief, State/Federal Relations  
Wisconsin Department of Administration  
101 East Wilson Street, 6th Floor  
P.O. Box 7868  
Madison, WI 53707  
(608) 266-0267  
(608) 267-6931 fax

## WYOMING

Matthew Jones  
State Single Point of Contact Office of the Governor  
200 West 24th Street  
State Capitol, Room 124  
Cheyenne, WY 82002  
(307) 777-7446  
(307) 632-3909 fax

## TERRITORIES

### GUAM

Mr. Giovanni T. SgambeHuri, Director  
Bureau of Budget and Management Research  
Office of the Governor  
P.O. Box 2950  
Agana, Guam 96910  
011-671472-2285  
01 1-671472-2825 fax

### PUERTO RICO

Norma Burgos/ Jose E. Caro  
Chairwoman/Director  
PR Planning Board  
Federal Proposals Review Office  
MiniHas Gov. Center  
P.O. Box 41119  
San Juan, Puerto Rico 00940-1119  
(809) 727-4444  
(809) 723-6190 fax  
(809) 724-3270 fax  
(809) 724-3103

### NORTH MARIANA ISLANDS

Mr. Alvaro A. Santos  
Executive Officer  
Office of Management and Budget  
Office of the Governor  
Saipan, ND 96950  
(670) 664-2256  
(670) 664-2272 fax  
Contact person: Ms. Jacoba T. Seman  
Federal Programs Coordinator  
(670) 664-2289  
(670) 664-2272 fax

VIRGIN ISLANDS

NeBon Bowry

Director, Office of Management and Budget

441 Norregade Emancipation

Garden Station

Second Floor

Saint Thomas, Virgin Islands 00802

Please direct all questions and correspondence about intergovernmental review to:

Linda Clarke

(809) 774-0750

(809) 776-0069 fax